



Section V:	Physical Security
Title:	Identification and Visitor Control Standard
Current Effective Date:	June 30, 2008
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Purpose: This standard establishes the requirements to be implemented for identification and control of workforce members and visitors.

STANDARD

1.0 Background

This standard applies to any visitor who enters a North Carolina (NC) Department of Health and Human Services (DHHS) Division or Office building. It does not govern the additional controls needed for restricted areas within the building. When a building is shared with another DHHS organization, a coordinated approach should be used to implement this standard. If the organizations do not have control over visitor entry into the Division or Office building (due to situations such as use of leased space or co-location with non- DHHS groups) then a work area perimeter shall be established around the entire work area of the Division or Office. In addition, a visitor entry control area shall be implemented. If work areas are non-adjacent, multiple perimeters and visitor entry control areas may be required.

This standard has been developed for an office setting environment. It has been established to protect information technology (IT) assets. This standard recognizes that there are facilities used for care and treatment of patients whose environment differs from the typical office setting. If circumstances warrant, a local standard shall be developed in collaboration with the NC DHHS Privacy and Security Office (PSO) to describe how individual areas of this standard can be addressed within the particular setting.

2.0 Personnel and Visitor Identification

2.1 Visitor Definition

A visitor is an individual that desires to enter the Division or Office work area who is not a workforce member assigned to the organizational unit. The following are examples of visitors:

- A state employee who is not a member of the organizational unit
- A third-party vendor/service provider
 - Vending machine suppliers
 - Cleaning staff
- Volunteers
- General public
- Family members





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- Solicitors
 - News media staff

Emergency personnel (i.e., police, emergency medical services, rescue services, etc.) dealing with emergency safety situations shall not be considered visitors and will be exempt from visitor controls.

Deliveries made to an area not designated as a visitor entry point, such as a loading dock, are not considered visits. However, precautions shall be in place to ensure delivery personnel do not enter the Division or Office work area during such activity. If the Division or Office work area must be entered by the delivery person to complete their duties, then visitor controls described in this standard shall be followed.

When a workforce member is terminated or terminates their employment, other workforce members will be notified of the employment status change on his/her last day of work or when such notification is reasonable and practical.

2.2 Visitor and Employee Identification

All workforce members will display their Department-issued badge at all times. Visitors will be issued a temporary badge (i.e., a visitor badge) that identifies them as a visitor. The badge shall be worn and clearly visible to workforce members at all times. The temporary badges must be returned and the visitor signed out once they leave the Division or Office building.

When a Division or Office employee has forgotten or lost their badge they will be required to obtain and display a special employee temporary badge. The identity of the employee who forgot their badge shall be verified by contacting the workforce member's supervisor. Once verified, the badge will be issued by the building Security Official or their designated representative. The temporary badge will contain the following information:

- The words, "Temporary Badge"
- A unique tracking number

The employee must return the badge at the end of the day.

Persons without a badge shall be presumed to be an "intruder". See section 4.3 for more information on dealing with intruders.





2.3 Visitor Badge Information

A visitor badge will contain the following elements:

- The word “**VISITOR**” in prominent letters
- A unique tracking number

3.0 Visitor Control

3.1 Visitor Entry Points

A single entry point will be designated for visitor entry. Each visitor entry point shall be continuously monitored while visits are allowed into the Division or Office. Workforce members will be trained on concepts such as ‘piggybacking’ and ‘shoulder surfing’ to ensure visitors do not enter the building inappropriately.

A warning sign shall be located at the visitor entry point to the building work area that states “Unescorted Visitors Are Not Allowed Beyond This Point” and that “Sign Out Is Required”.

3.2 Visitor Logging

A new section of the visitor tracking log shall be started for every day that visitors may arrive. The visitor tracking log shall contain the date for each new section of the log.

The following information shall be recorded for every visitor:

- The unique number assigned to the visitor that matches the number on the visitor’s badge
- The printed name of the individual
- The individual’s arrival time
- The reason for the visit
- Who they are visiting
- The visitor’s departure time

The visitor log will be maintained for a period of not less than one year per General Schedule for State Agency Records¹ (ITEM G44. Visitor Monitoring File). The visitor log shall be secured and not left unattended in the open.

3.3 Visitor Control Accounting

The workforce member responsible for visitor log accounting will review the visitor log before the end of the day to ensure that all visitors have left. The same log inspection will be made at the beginning of the next day to account for visitors leaving after normal visitor hours.

¹ See http://www.ah.dcr.state.nc.us/records/schedules/GS_Amendments2006.pdf





If a visitor has not signed out and it is near the end of the regular visitor hours, typically 5 p.m., the workforce member being visited will be contacted to determine if the visitor has left. If the visitor is still in the building, the workforce member being visited will be reminded of their responsibility to ensure the visitor signs out and the badge is returned.

If a visitor has not signed out and it appears they may have left the Division or Office, the workforce member that was visited will be contacted to determine if the visitor left but failed to log out. In such a case an estimate of the visitor's departure time and the log reviewer's initials will be recorded.

If a visitor has not signed out and the workforce member being visited does not know if the visitor left, then the log reviewer will contact the Division Information Security Official (ISO) or the ISO's secondary point of contact (POC). The ISO or designee will conduct a search of the building to determine if the visitor is still in the building. A note will be entered into the visitor log that this action was taken, the time of the search, and the results of the search.

4.0 Visitor Monitoring Responsibilities

4.1 Visitor Arrival Responsibilities

Visitor arrival logging and badge issuance shall be assigned to a designated individual. That individual will contact the person being visited and notify them of their guest's arrival. The guest will be monitored until the person being visited arrives and takes the guest into the work area.

A secondary POC shall be designated for the occasion when the workforce member assigned to perform visitor logging can not fulfill those duties.

4.2 Visitor Stay Controls

The workforce member visited will meet their guest at the sign in area. During the visitor's stay, the workforce member being visited is responsible for the location of the visitor. The visitor shall not be left alone. The workforce member is responsible for ensuring that the visitor does not enter prohibited or restricted areas.

When a visitor is expected to travel to restricted areas (i.e. wiring closets, server rooms, etc.), authentication of the visitor's affiliation and reason for visiting such areas shall be completed by the Division ISO or designated workforce member. A valid picture ID such as a driver's license, state employee identification (ID) badge, or valid vendor ID badge is suggested for this purpose.

The workforce member being visited has the responsibility to ensure that visitors do not obtain unauthorized confidential information while on the premises.





4.3 Visitor Roaming Control

Workforce members are an essential component of visitor control. If a workforce member observes an individual on the premises that is not a known member of the workforce, is not wearing a state issued badge or visitor badge, it is the responsibility of the workforce member to either report the incident immediately by contacting security for the building or approaching the individual to inquire who they are visiting. If the individual is visiting a workforce member, the individual should be escorted to workforce member's office they are visiting. If the individual is not visiting a workforce member, the individual should be escorted to the visitor's entry point of the building and the ISO or his/her designee contacted so an incident report can be completed.

Reference:

- HIPAA Administration Simplification - Act 45 C.F.R. Part 160 and 164.
 - HIPAA - 45 C.F.R. § 164.310(a)(2)(iii) Access control and validation procedures.
- NC Statewide Information Security Manual, Version No.1 –
 - Chapter 2 - Controlling Access to Information and Systems, Section 01: Controlling Access to Information and Systems
 - Standard 020107 - Securing Against Unauthorized Physical Access
 - Chapter 9 - Dealing with Premises Related Considerations, Section 01: Premises Security
 - Standard 090104 - Physical Access Control to Secure Areas
 - Standard 090105 - Challenging Strangers on Agency Premises

